

19 APR 2001

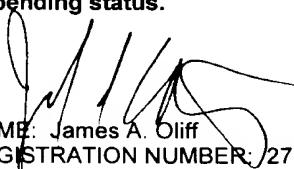
JC03 Rec'd PCT/PTO

(1390 REV. 5-93) US DEPT. OF COMMERCE PATENT &amp; TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER  
108680

**TRANSMITTAL LETTER TO THE  
UNITED STATES  
DESIGNATED/ELECTED OFFICE  
(DO/EO/US) CONCERNING A FILING  
UNDER 35 U.S.C. 371**

|  |  |  |  |
|--|--|--|--|
| INTERNATIONAL APPLICATION NO.<br>PCT/JP00/03968  |  | INTERNATIONAL FILING DATE<br>June 16, 2000 | U.S. APPLICATION NO.<br>(if known, sec 37 C.F.R.1.5)<br>09/763,365 |
| TITLE OF INVENTION<br>SEMICONDUCTOR DEVICE AND MANUFACTURING METHOD THEREOF  |  |  |  |
| APPLICANTS FOR DO/EO/US<br>Teruo TAKIZAWA et al.   |  |  |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |  |  |  |
| <p>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</p> <p>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ul> </p> <p>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ul> </p> <p>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> |  |  |  |
| <b>Items 11. to 16. below concern other document(s) or information included:</b>   |  |  |  |
| <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment.</p> <p><input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</p> <p>14. <input type="checkbox"/> A substitute specification.</p> <p>15. <input type="checkbox"/> Entitlement to small entity status is hereby asserted.</p> <p>16. <input checked="" type="checkbox"/> Other items or information: Response to Notification of Missing Requirements Declaration Already Filed</p>   |  |  |  |

|   |   |                                 |            |    |
|---|---|---------------------------------|------------|----|
| U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5) 09/763,365   | INTERNATIONAL APPLICATION NO. PCT/JP00/03698  | ATTORNEY'S DOCKET NUMBER 108680 |            |    |
| 17. <input type="checkbox"/> The following fees are submitted:  |   | CALCULATIONS                    |            |    |
| <b>Basic National fee (37 CFR 1.492(a)(1)-(5)):</b><br>Search Report has been prepared by the EPO or JPO .... \$860.00<br>International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... \$690.00<br>No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... \$710.00<br>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$1,000.00<br>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... \$ 100.00 |   | PTO USE ONLY                    |            |    |
| <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>   |   | \$                              |            |    |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).   |   | \$                              |            |    |
| Claims  | Number Filed  | Number Extra                    | Rate       |    |
| Total Claims  | - 20 =  |                                 | X \$ 18.00 | \$ |
| Independent Claims  | - 3 =   |                                 | X \$ 80.00 | \$ |
| Multiple dependent claim(s)(if applicable)  |   |                                 | + \$270.00 | \$ |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |   | \$                              |            |    |
| Reduction by 1/2 for filing by small entity, if applicable.   |   | -                               | \$         |    |
| <b>SUBTOTAL =</b>   |   | \$                              |            |    |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)).   |   | \$                              |            |    |
| <b>TOTAL NATIONAL FEE =</b>   |   | \$                              |            |    |
|   |   | Amount to be refunded           | \$         |    |
|   |   | Charged                         | \$         |    |
| a. <input type="checkbox"/>   | Check No. _____ in the amount of \$_____ to cover the above fees is enclosed.   |                                 |            |    |
| b. <input type="checkbox"/>   | Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed.  |                                 |            |    |
| c. <input checked="" type="checkbox"/>  | The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. <u>15-0461</u> . A duplicate copy of this sheet is enclosed. |                                 |            |    |
| <b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>  |   |                                 |            |    |
| <b>SEND ALL CORRESPONDENCE TO:</b><br>OLIFF & BERRIDGE, PLC<br>P.O. Box 19928<br>Alexandria, Virginia 22320   |   |                                 |            |    |
| <br>NAME: James A. Oliff<br>REGISTRATION NUMBER: 27,075   |   |                                 |            |    |
| NAME: Joel S. Armstrong<br>REGISTRATION NUMBER: 36,430  |   |                                 |            |    |

**PATENT APPLICATION**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Teruo TAKIZAWA et al.

ATTN: PCT Branch

Application No.: 09/763,365

Docket No.: 108680

Filed: February 23, 2001

For: SEMICONDUCTOR DEVICE AND MANUFACTURING METHOD  
THEREOF

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS**  
**UNDER 35 U.S.C 371 IN THE UNITED STATES**  
**DESIGNATED/ELECTED OFFICE (DO/EO/US)**  
**DECLARATION ALREADY FILED**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

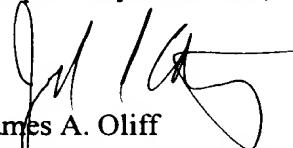
Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C 371 in the United States Designated/Elected Office (DO/EO/US) (copy attached) mailed on April 2, 2001, the executed Declaration of the inventors was filed on February 23, 2001. A copy of the executed Declaration as filed, a copy of the Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371, and a copy of the stamped postcard receipt are attached hereto.

Entry of these documents on February 23, 2001 should have completed all of the filing formalities. Accordingly, prompt issuance of a Notification of Acceptance and Filing Receipt, and prompt examination and allowance of this application are respectfully solicited.

The Director is hereby authorized to charge any additional fee (or credit any overpayment) associated with this communication to Deposit Account No. 15-0461. Two duplicate copies of this paper are attached.

Respectfully submitted,

  
James A. Oliff  
Registration No. 27,075

Joel S. Armstrong  
Registration No. 36,430

JAO:JSA/cmm

Date: April 19, 2001

**OLIFF & BERRIDGE, PLC**  
**P.O. Box 19928**  
**Alexandria, Virginia 22320**  
**Telephone: (703) 836-6400**

**DEPOSIT ACCOUNT USE  
AUTHORIZATION**  
Please grant any extension  
necessary for entry;  
Charge any fee due to our  
Deposit Account No. 15-0461



## UNITED STATES DEPARTMENT OF COMMERCE

Patent and Trademark Office

Address: ASSISTANT COMMISSIONER FOR PATENTS  
Box PCT  
Washington, D.C. 20231

|                      |                       |                               |               |
|----------------------|-----------------------|-------------------------------|---------------|
| U.S. APPLICATION NO. | FIRST NAMED APPLICANT | ATTY DOCKET NO.               |               |
| 09/763365            | TAKIZAWA              | T 108680                      |               |
| RECEIVED             |                       | INTERNATIONAL APPLICATION NO. |               |
| APR 03 2001          |                       | PCT/JP00/03968                |               |
| OLIFF & BERRIDGE     |                       | I.A. FILING DATE              | PRIORITY DATE |
|                      |                       | 16 JUN 99                     | 23 JUN 99     |
|                      |                       | DATE MAILED:                  | 02 APR 2001   |

## NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

- A Designated Office (37 CFR 1.494).  
 an Elected Office (37 CFR 1.495):  
 U.S. Basic National Fee.  
 Copy of the international application in:  
 a non-English language.  
 English.  
 Translation of the international application into English.  
 Oath or Declaration of inventors(s) for DO/EO/US.  
 Copy of Article 19 amendments.  
 Translation of Article 19 amendments into English.  
 The International Preliminary Examination Report in English and its Annexes, if any.  
 Translation of Annexes to the International Preliminary Examination Report into English.  
 Preliminary amendment(s) filed 21 FEB 2001 and \_\_\_\_\_  
 Information Disclosure Statement(s) filed \_\_\_\_\_ and \_\_\_\_\_  
 Assignment document.  
 Power of Attorney and/or Change of Address.  
 Substitute specification filed \_\_\_\_\_.  
 Verified Statement Claiming Small Entity Status.  
 Priority Document.  
 Copy of the International Search Report  and copies of the references cited therein.  
 Other:

2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.  
 The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.  
 The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ \_\_\_\_\_ as a  large entity  small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due. See attached PTO-875.

**ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY  21 OR  31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes MUST be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.  
5.  The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR. 494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

Enclosed:

PCT/DO/EO/917

Notice of Defective Translation

PTO-875

FORM PCT/DO/EO/905 (December 1997)

Fred Smith

Telephone: 703-305-3654

**PTO RECEIPT FOR FILING OF PAPERS**

**The following papers have been filed:**

PCT Trans. Ltr., Decl., Asgn. Trans. Ltr. & Ck 116538 \$40, Assign.

**Name of Applicant:** Teruo TAKIZAWA et al.

**Serial No.:** U.S. National Stage of PCT/JP00/03968

**Atty. File No.:** 108680

**Title (New Cases):**

**Sender's Initials:** JAO/cmm

103113

**PATENT OFFICE DATE STAMP**



**COPY TO BE STAMPED BY PATENT OFFICE  
AND RETURNED BY MESSENGER**

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